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Independent project evaluation of the

Partnership Against Transnational-crime through Regional Organized Law-enforcement (PATROL)

XAPU59

Cambodia, Lao PDR, Myanmar, Thailand, Vietnam

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EXECUTIVE SUMMARY

The project XAPU59 Partnership Against Transnational-crime through Regional Organized Law enforcement (PATROL) was implemented from January 2010 to June 2014 in Cambodia, Lao PDR, Myanmar, Thailand and Vietnam. The implementation strategy involved supporting cross-border cooperation in the fight against transnational organised crime (TOC) in the Greater Mekong Subregion (GMS). It promoted the development of effective multi-agency cross-border cooperation, expanding the Border Liaison Office (BLO) model to all TOC areas at land border locations and beyond the focus of drug trafficking only.

UNODC was the executing agency, with United Nations Environment Programme (UNEP) as UN partner agency. The Government implementing agencies were the National Authority for Combating Drugs (NACD) in Cambodia, the Ministry of Public Security (MOPS) in Lao PDR, the Myanmar Police Force, the Royal Thai Police and the Standing Office on Drugs and Crime in Vietnam. The PATROL partnership also involved non-Governmental Organisations (NGO) Freeland Foundation and TRAFFIC for the provision of expertise on environmental protection and counter-trafficking. The PATROL project was funded mainly by the Australian Department of Immigration and Border Protection (DIBP, formerly DIAC) with a total approved budget of 4,254,088 USD.

In 2012 the project was revised for PATROL to widen its thematic scope, with the objective to 'reduce illicit trafficking of people, drugs, illicit natural resources and hazardous substances through enhanced cross-border cooperation in the fight against Transnational Organised Crime'. The expected outcomes were 1) BLO operations strengthened and expanded, 2) Legislative and policy frameworks are revised to meet international obligations and standards, 3) Increased cooperation between criminal justice agencies within and between borders, 4) Strategic and operational information on illicit trafficking used by stakeholders to inform evidence based responses and 5) Front-line law enforcement officers, prosecutors, judges and other specialised officials apply improved knowledge and skills to their operations.

This final independent evaluation of project XAPU59 took place in April 2014 and covers the project lifespan. The main data collection methods involving the project's core learning partners (CLP) included a document review, interviews and group discussions. Primary qualitative data was triangulated with secondary data from relevant documents and further exchange of views with selected CLPs. All relevant stakeholders were reached including: Government counterparts in Cambodia, Laos, Myanmar, Thailand and Vietnam, UNODC team and trainers, UNEP, other implementing partners Freeland Foundation and external trainers, and as well as two Australian government representatives, at post and Head Quarters. Four missions were undertaken: 1) in Bangkok for interviews with UNODC ROSEAP team, the donor, trainers and partner organisations, 2) in Laos for Project Advisory Committee meeting and interviews,

Myanmar for interviews in Nay Pyi Taw; Thailand for interviews and reaching Tachilek BLO in Myanmar, 3) in Vietnam for National Steering Committee meeting, interviews and visit Xa Mat BLO in Tan Bien and Moc Bai BLO in Ben Cau districts of Tay Ninh province; Cambodia with visit of Bavet BLO in Svay Rieng province and interviews, 4) in Cambodia and Thailand with Cambodia Project Advisory Committee meeting, interviews and visit of BLOs between Thailand and Cambodia. These included Prum in Pailin province (a relatively western Cambodian small province that shares 40km of borders with Chanthaburi province), Doung BLO in Battambang province opposite Ban Laem BLO in Thailand, and finally Ban Khlong Luk BLO in, Aranyaprathet, SraKaew province, opposite Poi Pet BLO in Banteay Meanchey province in Cambodia.

PATROL has successfully developed an integrated approach to tackling TOC threats with a focus on borders and considerable achievements were made towards the realization of the project's objective and outcomes. A modular approach for content development and flexible partnerships for funding and technical assistance are the key factors behind the incremental progress of PATROL over four years, expanding from 2 countries in 2010 to 5 countries in 2013.

The partnership arrangements for PATROL are considered by all respondents as mutually beneficial and UNODC has been able to create synergies with potential partners for funding and technical assistance to host governments. As regards external partners for training and support on TOC, Freeland Foundation remained an effective partner throughout the project (unlike TRAFFIC due to a lack of specific resources to commit), in line with its strong law enforcement component. UNEP is the only UN partner entity involved in PATROL. The BLO mechanism provided an opportunity to address issues on environmental related commodities, placing emphasis on the illegal trade in chemicals and waste. UNEP provided financial support to UNODC as well as the Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) for training courses.

Implementation was characterized by a high level of efficiency in delivering capacity-building, training with state-of- the-art and generic content, and equipment support to BLOs for further action on TOC. During the life span of the project, 56 events were organized, which included needs assessments (5), national workshops (25), training seminars (18) and regional gatherings (8). Equipment – including more than 200 computers and several motorbikes, radios and telephones – were procured for 58 BLOs in 5 countries. The procurement of equipment represented 24% of the total volume of expenditures. In terms of human resources inputs, the UNODC PATROL team has provided consistent management support to implement the project. International consultants (7% of the expenditures) were utilized only for training seminars and selected publications. No major constraints and problems were reported by respondents to have impacted the implementation and delivery of the project. Some constraints were experienced between the donor agency and the executing agency on reporting content and on how funds were spent but these have been addressed.

XAPU59 has made a positive contribution to the realization of the project's objective (To reduce illicit trafficking of people, drugs, illicit natural resources and hazardous substances through enhanced cross-border cooperation in the fight against TOC) to the extent that it can actually be achieved and its supporting outcomes to the extent that they can be appropriately measured.

Progress towards achieving the five expected outcomes was uneven. The main outcomes developed in contribution to the project's objective were 1 and 5. Most funds were spent

on outcome 1 (assets, regional workshops, national meetings, and infrastructure). To some extent outcomes 2, 3 and 4 seem to replicate the outputs contained in Outcome 1. Some activities pursued under outcome 1 and 5 were understood in retrospect as falling under other outcomes. Indeed outcome 3 on cooperation mechanisms, outcome 4 on strategic and operational information, as well as outcome 5 on knowledge and skills all relate generically to outcome 1 and the support to BLOs through training and capacity building for data generation and dissemination. This may suggest that more progress towards the project's five outcomes and single objective has been achieved than thought so previously or by monitoring at output level based on the five outcomes.

XAPU59 has been effective in strengthening and expanding BLO operations under outcome 1. Each participating country has established a multi-agency national steering committee that oversees the work of the BLOs and meets twice a year to assess progress and plan ahead. Good support was manifested from Governments and through the main implementing agencies. It is acknowledged that national implementing agencies may not be able to sustain activities at the same level and some members need more support than others. Implementing Output 1.4 on Border Community Committees (BCC) has provided a unique opportunity to engage with communities, civil society groups and local government authorities. BCCs were established in Thailand and Lao PDR and PATROL has provided awareness and sensitizing about TOC and sought to encourage local community participation for sustainable work with BLOs. The feasibility of maritime BLOs (Joint Port Control Units) (Output 1.5) was assessed and counterparts concluded that PATROL would focus on land BLOs rather than developing maritime BLOs, given the difficulty of liaising with neighbors and counterparts at maritime border points and at sea.

Outcome 2 (Legislative and policy frameworks are revised to meet international obligations and standards) was not particularly pursued, if not for a review carried-out to assess legal and political frameworks on timber and wildlife. Due to lack of specific funding and resources from UNODC and partners PATROL was not geared towards legislative and policy framework reviews to improve effective cross border cooperation on TOC and law enforcement.

The PATROL project has been effective in delivering Outcome 3 (Increased cooperation between criminal justice agencies within and between borders) to the extent that agreements were brokered between governments and among government agencies for the implementation of a coordinated mechanism, more so considering that more counterpart governments joined the project during implementation. At the time of this evaluation, 7 Standard Operating Procedures (SOP) had been prepared but not all endorsed, namely bilateral SOPs with Laos (4) that were awaiting a grouped endorsement by Government. All countries had shared SOPs with their neighbors. Output 3.3 (Mechanisms established for jointly conducted operations, investigations and prosecutions, including provision of legal assistance and support services to trafficking victims) was only partly delivered: although SOPs provide for joint investigations and operations, no mention is made of joint prosecutions. Comprehensive national policies may be lacking that include legal, prosecutorial, judicial improvements for fighting against TOC at borders, and the level of legal assistance and support services to trafficking of victims was difficult to ascertain.

Under outcome 4 (Strategic and operational information on illicit trafficking used by stakeholders to inform evidence based responses) a workshop was organized in 2012 to improve data collection and reporting indicators for BLOs were agreed upon. This

process was effective in contributing to the outcome of using information to inform responses because government counterparts are more likely to utilize and share data if they have agreed to collect data from the onset. It is acknowledged that PATROL partner countries do not have the same capacity to collect and share data, yet at the end of the project there is lack of data from BLOs and national authorities overall on the performance of BLOs. It remains difficult to determine the extent of cooperation at BLO level and the level of performance of BLOs. Reporting against BLO performance indicators has not provided enough evidence on PATROL's contribution towards its objective and outcomes.

XAPU59 has been most efficient in achieving outcome 5 (Front-line law enforcement officers, prosecutors, judges and other specialized officials apply improved knowledge and skills to their operations) and training stands out as a key component of the PATROL project. A training needs assessment was conducted in every country (Output 5.1) with in-house resources. Training programmes were developed (Output 5.2) with state-of-the-art and 70% generic content. The training team of UNODC and external consultants was also effective in delivering and monitoring training (Output 5.3). 18 training seminars were delivered including awareness raising seminars for frontline officers, 12 Anti-smuggling trainings with simulation exercises, 2 Cross-border trainings. Post-course reviews were conducted and showed a high degree of satisfaction from trainees.

Achieving impact for growing cross-border cooperation may be difficult given the project's broad ranging objective on TOC threats and the outcome measures in place, as highlighted above. It is also difficult to attribute impact in terms of the level of threat posed by TOC through illicit trafficking in people, drugs, illicit natural resources and hazardous substances given the nature of technical support provided during PATROL for BLO capacity-building and training. At best, strengthened and expanded BLO operations are thought to deter the level of TOC at border checkpoints. Illicit trafficking routes and patterns are reported to shift accordingly (e.g. to other routes) and that the deterrence of TOC with BLOs cannot be considered as a long-term change.

PATROL has nevertheless succeeded in achieving high level policy support for operating on cross-border and TOC issues. Partnerships between governments were developed at sub-regional level with five countries and new arrangements and management structures were promoted among government agencies in respective countries. Counterpart officials at BLOs and national level have been able to develop and sustain working relationships and trust. PATROL has developed strong momentum and gathered adherence of partners. Strengthening and expanding BLO operations on TOC now requires fine tuning the geographic level and scope of their work, both along borders in more remote areas and at provincial/district level.

It appears unlikely that the overall level of engagement and cross-border cooperation achieved by PATROL will be sustained without external support and facilitation by UNODC or other organisations. Government funding streams to support the BLO mechanism after PATROL phase 1 are limited. Some PATROL partners are also engaged in other projects with a similar focus as part of their core business at bilateral or regional level. There are opportunities for PATROL to further integrate and institutionalize the BLO mechanism in national policies, laws and regulations on border security and TOC. A new funding agreement between DIBP and UNODC for one more year was concluded in June 2014. PATROL in its next phase may also be embedded in the RPF 2014-2017 (Sub-programme on TOC) depending on funding and project development opportunities. The environmental component of XAPU59 may feed into the Global Programme on Wildlife

and Forest Crime and the future delivery of PATROL training courses falls under the 2014-15 workplan of the Global Programme in South-East Asia.

Given the findings and conclusions of this evaluation recommendations are made to a) all partners to PATROL, b) UNDOC as the executing agency and the donor and c) Government authorities responsible for and receiving support from PATROL.

For PATROL phase 2 and other partnerships and responses to TOC through regional cross-border cooperation it is recommended to all partners to ensure strategic positioning and integrate with other donors and technical assistance providers driving bigger agendas, namely the Asian Development Bank (ADB). This would increase the appeal of BLO and other partnerships for recipient governments in the perspective of the transition to the ASEAN Economic Community (AEC) in 2015. Opportunities to increase data generation and sharing on BLOs should be explored. In the future, BLOs could feedback data to capitals and into investigations in various jurisdictions in partner countries. PATROL partners should also seek to engage 1) not only across but also along borders in remote areas with relevant authorities with a remit for border security and 2) at provincial and district level so as to widen the geographic scope of action of BLOs and to fine tune bilateral relations at various administrative levels.

To UNODC recommendation is made to complete the delivery of equipment and training material and mobilize more resources for PATROL Phase 2 for national and regional events, for example to monitor SOP implementation and to build political and technical support for implementation. It is also recommended creating synergies with other UNODC projects and programmes especially in relation to eLearning, Port Intelligence Units (PIU), Container Control Programme (CCP), Global Programme on Wildlife and Forest Crime. UNODC should also seek to support training opportunities for border officers by providing material, computer-based courses with modules and certificates, mobile learning units, as well as more joint and cross-border training. Different levels of training can also be envisaged e.g. 1) Anti-smuggling training, 2) Cross-border training and 3) Advanced training.

To UNODC and DIBP it is recommended for future regional partnerships to identify engagement mechanisms at country or post level so as to avoid overlap with other initiatives and to provide adequate coordination and support for in-country implementation.

To the governments of Cambodia, Lao PDR, Myanmar, Thailand and Vietnam, through their respective authorities responsible for PATROL it is recommended to actively support the BLO mechanism through implementation of the SOP with neighboring countries, information collection on BLOs from district and provincial authorities and regular consultations to identify new hotspots and threats. Host Governments may also support BLOs by distributing training material and offering e-Learning opportunities, providing adequate premises and staff for BLOs and ensuring through senior officers and authorities that training is applied by operational staff.

SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings[1]	Evidence (sources that substantiate findings)	Recommendations[2]
Key recommendations		
PATROL has achieved a high level policy endorsement for operating on cross-border and TOC issues. Beneficial cooperation arrangements have been made, project advisory committees and bilateral Standard Operating Procedures (SOPs) have been established.	Document review, interviews and group discussions.	**To all PATROL partners:** Ensure strategic positioning and integrate with other donors and technical assistance providers driving bigger agendas in the sub-region, namely the Asian Development Bank, to increase the appeal of Border Liaison Offices (BLOs) for recipient governments; **TO UNODC**: Find synergies with other UNODC projects and programmes especially in relation to eLearning, Port Intelligence Units, the Container Control Programme, the Global Programme on Wildlife and Forest Crime; Mobilize more resources for PATROL Phase 2 for national and regional events, for example to monitor SOP implementation or to build political and technical

[1] A finding uses evidence from data collection to allow for a factual statement.
[2] Recommendations are proposals aimed at enhancing the effectiveness, quality, or efficiency of a project/programme; at redesigning the objectives; and/or at the reallocation of resources. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions.

		support to cross-border cooperation and responses to transnational crime; **To Government counterparts**[3] Support and implement the SOP with neighboring countries.
Training stands out as a key component of the PATROL project and provides an efficient and effective means to fight transnational crime at borders. State-of-the-art and generic content was developed based on assessed needs and delivered to the satisfaction of trainees.	Interviews with trainers, national government counterpart trainees and UNODC, document review of training-related PATROL documents.	**To Government counterparts**: Support BLOs by distributing training material and offering e-Learning opportunities; Ensure through senior officers and authorities that training is applied by operational staff; **TO UNODC** : Support training opportunities for border officers by providing material, computer-based courses with modules and certificates, mobile learning units, as well as more joint and cross-border training. Different levels of training can also be envisaged e.g. 1) Anti-smuggling training, 2) Cross-border training and 3) Advanced training.
At the end of the project, there is lack of data from BLOs and national authorities on the performance of BLOs. It is either unavailable or inadequate to report on and does not allow for a	Document review, interviews, site visits.	**To all PATROL partners:** Find ways to increase data generation and sharing on BLOs. In the future, BLOs could feedback data to capitals and into investigations in various

[3] Government authorities responsible for and receiving support from PATROL in Cambodia, Lao PDR, Myanmar, Thailand and Vietnam.

thorough understanding of the activities of BLOs receiving PATROL support.		jurisdictions in partner countries; **To Government counterparts**: Collect information on BLOs from district and provincial authorities; Consult regularly project advisory committee members to identify new hotspots, trends and threats.
Important recommendations		
Strengthening and expanding BLO operations on TOC requires refining the geographic level and scope of their work, both along borders in more remote and often upland areas and at provincial/district level.	Interviews and field visits	**To all PATROL partners:** Engage not only across but also along borders in remote areas with relevant authorities with a remit for border security; Engage at provincial and district level so as to widen the geographic scope of action of BLOs to the areas and not only the points were they are located and to fine tune bilateral relations at various administrative levels.
Some constraints were experienced between the donor agency and the executing agency on reporting content and on how funds were spent, but these have been addressed in the perspective of the next phase of implementation under a new funding agreement.	Interviews with UNODC ROSEAP, DIBP; desk review	**To UNODC and DIBP:** It is recommended for future regional partnerships to identify engagement mechanisms at country or post level so as to avoid overlap with other initiatives and to ensure adequate focus and support for in-country implementation.

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I. INTRODUCTION

Background and context

The project Partnership Against Transnational-crime through Regional Organized Law enforcement (PATROL) was implemented from January 2010 to June 2014 in Cambodia, Lao PDR, Myanmar, Thailand and Vietnam. The PATROL project (XAPU59) was funded mainly by the Australian Department of Immigration and Border Protection (DIBP, formerly DIAC) with a total approved budget of 4,254,088 USD. UNODC was the executing agency, with UNEP as UN partner agency. The Government implementing agencies were the National Authority for Combating Drugs (NACD) in Cambodia, the Ministry of Public Security (MOPS) in Lao PDR, the Myanmar Police Force, the Royal Thai Police and the Standing Office on Drugs and Crime in Vietnam. The PATROL partnership also involved non-governmental organisations Freeland Foundation and TRAFFIC for the provision of expertise on environmental protection and counter-trafficking.

The implementation strategy between 2010 and 2014 involved supporting cross-border cooperation in the fight against transnational organised crime (TOC) in the Greater Mekong Subregion (GMS). It promoted the development of effective multi-agency cross-border cooperation, expanding the Border Liaison Office (BLO) model to all TOC areas at land border locations and beyond the focus of drug trafficking only.

In 2012 the project was revised for PATROL to cover trafficking in people and illicit commodities. From the objective of reducing the smuggling of migrants and a single supporting outcome, the project was redesigned with five outcomes as follows:

Objective: To reduce illicit trafficking of people, drugs, illicit natural resources and hazardous substances through enhanced cross-border cooperation in the fight against Transnational Organised Crime

Outcome 1: BLO operations strengthened and expanded

Outcome 2: Legislative and policy frameworks are revised to meet international obligations and standards

Outcome 3: Increased cooperation between criminal justice agencies within and between borders

Outcome 4: Strategic and operational information on illicit trafficking used by stakeholders to inform evidence based responses

Outcome 5: Front-line law enforcement officers, prosecutors, judges and other specialised officials apply improved knowledge and skills to their operations

Map 1. Border Liaison Offices (BLO) and the PATROL partnership.
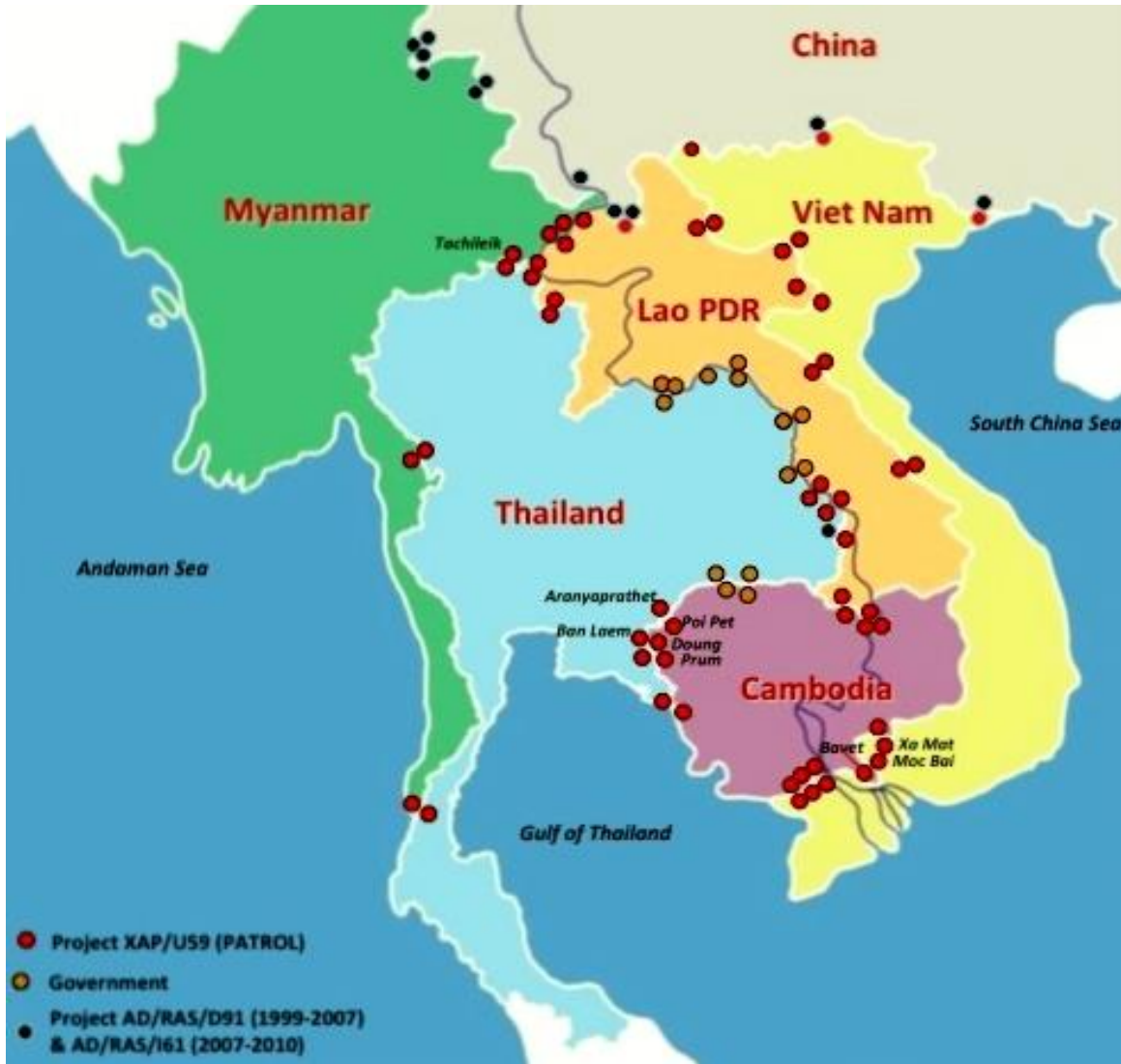
Source: UNODC.

Map 2. Border Liaison Offices and Greater Mekong Subregion Economic Corridors[4]

Source: UNODC, © Mapbox, © Opensource.

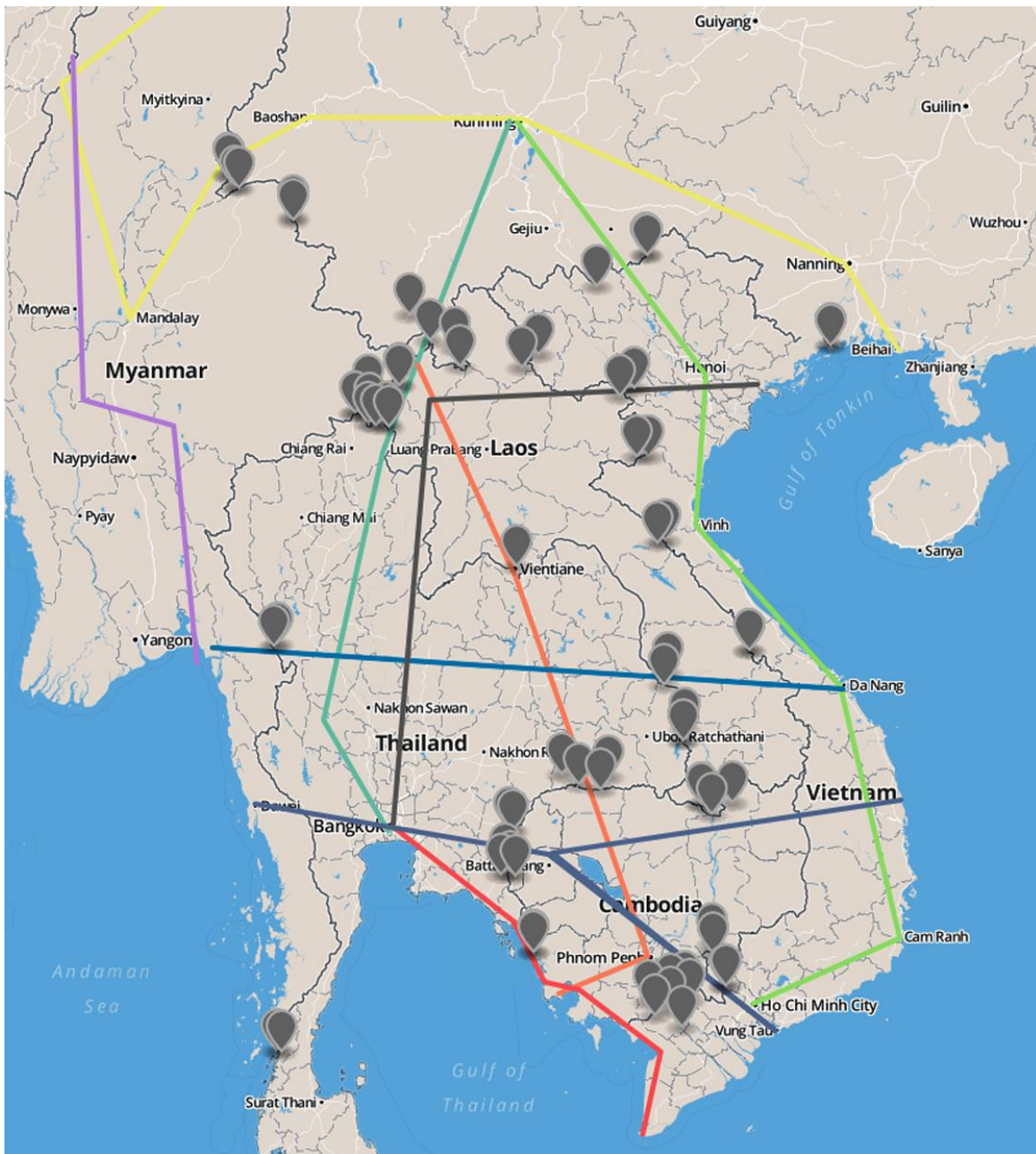[4] Northern Corridor: Fangchen-Tamu (yellow), Eastern Corridor: Kuming - Ho Chi Min City (bright green), North - South Corridor: Kunming- Bangkok (dark green), Central Corridor: Kunming-Sihanoukville (orange), South Coastal Corridor: Bangkok - Nam Can (red), Southern Corridor: Dawei-Quy Nhon/Vung Tau (indigo), Southern Corridor: Dawei-Quy Nhon/Vung Tau (sky blue), Western Corridor: Tamu – Mawlamyine (purple), Northestern Corridor: Nanning-Bangkok/Laem Chanbang (dark grey).

Evaluation Methodology

This final independent evaluation of project XAPU59 took place in April 2014 and covers the project lifespan from 2010 to 2014. Participatory observation was conducted to assess the results and impact of the project against the stated objectives. The evaluation involved the project's core learning partners (CLP). All relevant stakeholders were reached including: Government counterparts in Cambodia, Laos, Myanmar, Thailand and Vietnam, UNODC team and trainers, UNEP, other implementing partners Freeland Foundation and external trainers, and as well as two Australian government representatives, at post and Head Quarters.

Document analysis, interviews (16) and group discussions (8) were the main data collection methods. Face to face (15) or phone (1) semi-structured interviews were conducted based on the evaluation questions detailed in Annex II. Evaluative and strategic written outputs, as well as the M&E framework developed during the project were closely scrutinized. The results and recommendations of the 2012 Participatory Self-Evaluation served as a pivotal output to assess the project throughout its duration. Primary qualitative data was triangulated with secondary data from relevant documents and further exchange of views with selected CLPs.

Four missions were undertaken: 1) in Bangkok for interviews with UNODC ROSEAP team, the donor, trainers and partner organisations, 2) in Laos for Project Advisory Committee meeting and interviews, Myanmar for interviews in Nay Pyi Taw; Thailand for interviews and reaching Tachilek BLO in Myanmar, 3) in Vietnam for National Steering Committee meeting, interviews and visit Xa Mat BLO in Tan Bien and Moc Bai BLO in Ben Cau districts of Tay Ninh province; Cambodia with visit of Bavet BLO in Svay Rieng province and interviews, 4) in Cambodia and Thailand with Cambodia Project Advisory Committee meeting, interviews and visit of BLOs between Thailand and Cambodia. These included Prum in Pailin province (a relatively western Cambodian small province that shares 40km of borders with Chanthaburi province), Doung BLO in Battambang province opposite Ban Laem BLO in Thailand, and finally Ban Khlong Luk BLO in, Aranyaprathet, SraKaew province, opposite Poi Pet BLO in Banteay Meanchey province in Cambodia.

Sampling methods were determined by the number and characteristics of staff involved in CLP structures and the beneficiaries of the project at BLOs. A list of Core Learning Partners (n= 29) was shared before the evaluation. The number of BLOs visited is considered to be reasonably representative of BLOs overall. Emphasis was placed on BLOs where activities have been implemented in the framework of PATROL since 2010. The representation of implementing agencies present at BLOs visited reflected the extent of involvement of national Governments in the project. Given the objective and timeframe of this evaluation, sampling of CLPs and BLOs was purposive.

The proposed timeframe for this evaluation in five countries including capitals and cross border points seemed short at first but did not constitute a major limitation for the interpretation of results given the framework of this project. Indeed the project documents and reporting formats are well established with a straightforward logical framework including outputs that are measured. Meetings for interviews or group

discussions took place as planned with all partners in five countries. The timetable was been developed by the Regional Office so that meetings would take place around national advisory committee meetings and events so as to group meetings with several stakeholders and to rationalise travels and logistics.

The languages used during interviews and discussions did not constitute a limitation either because English translation was provided by an independent translator in all countries, except Cambodia where translation was facilitated by NACD.

II.   EVALUATION FINDINGS

Design

XAPU59 was developed with a modular approach to TOC and understood as such by Government counterparts. The 2012 project revision to cover trafficking in people and illicit commodities was expected from the onset. At first there was even a disconnect between the formal and single project module on smuggling of migrants and other project modules that were already funded and agreed with Government but not formally included in the project. The extension of the scope of PATROL was carved out of opportunity for partnerships and implemented in accordance with the different level of engagement of counterparts in respective countries.

The logical framework used during the implementation of XAPU59 after revision did not cause any design related difficulties. The five expected outcomes reflect the single objective and outputs were adequate to contribute to outcomes. Indicators and baseline measures were established and effectively used to measure progress towards outputs and outcomes.

In structural terms it was argued by respondents at UNODC ROSEAP that a project with modules for a thematic approach allows for incremental implementation but does not ultimately facilitate the integration of approaches to TOC through BLOs and that other designs for projects on TOC should be explored.

Relevance

XAPU59 is a relevant project given the focus on enhanced cooperation at BLOs to achieve the objective of reducing forms of TOC, because BLOs are an established mechanism that counterpart Governments wish to strengthen. The means deployed to support BLOs are adapted to enhance cross-border cooperation on TOC.

XAPU59 is also relevant given its objective of reducing forms of TOC through its modular approach to implementation, to the extent, it can be argued, that the nature and threat of transnational crime in the GMS are understood and documented. Reference is made to the UNODC publication Transnational Organized Crime in East Asia and the Pacific: A Threat Assessment (2013) which provides a comprehensive overview of threats, trends and fluxes that are under purview of BLOs and national authorities under the PATROL framework.

An overwhelming majority of respondents stated that the achievements of PATROL notwithstanding, regional law enforcement and cross-border cooperation responses implemented today are not enough to face the threat of transnational crime. Upcoming mobility changes, economic integration and trade liberalization in ASEAN from 2015

were reported by respondents in all countries as very likely to be followed by increased and varied forms of crime and corruption.

The PATROL project is also well integrated in relation with the Regional Programme Framework (RPF) for East Asia and the Pacific 2009 – 2012 (Sub programme 1: Countering transnational organized crime and illicit trafficking, including drug trafficking, Outcome 1.1: Improved border security), as well as the RPF 2014-2017 (under outcome 4(b) Member States are equipped to take effective action against transnational organized crime, including: drug trafficking; money-laundering; trafficking in persons; smuggling of migrants; illicit manufacturing and trafficking of firearms; and emerging policy issues as mentioned in General Assembly resolution 64/179).

Efficiency

The resources available for PATROL were converted to outputs in a timely and cost-effective manner. Over 4.5 years the PATROL project has disbursed payments for 3,945,344 USD. The original budget was eventually revised to 4,254,088 USD, with no significant change in budget occurring after the project's mid-point. Over 4.5 years (June 2014) the PATROL project has disbursed payments for 93% of its funding. The remaining part will be disbursed by the end of the September, when the no-cost extension will be competed.

Figure I. Expenditure by year.
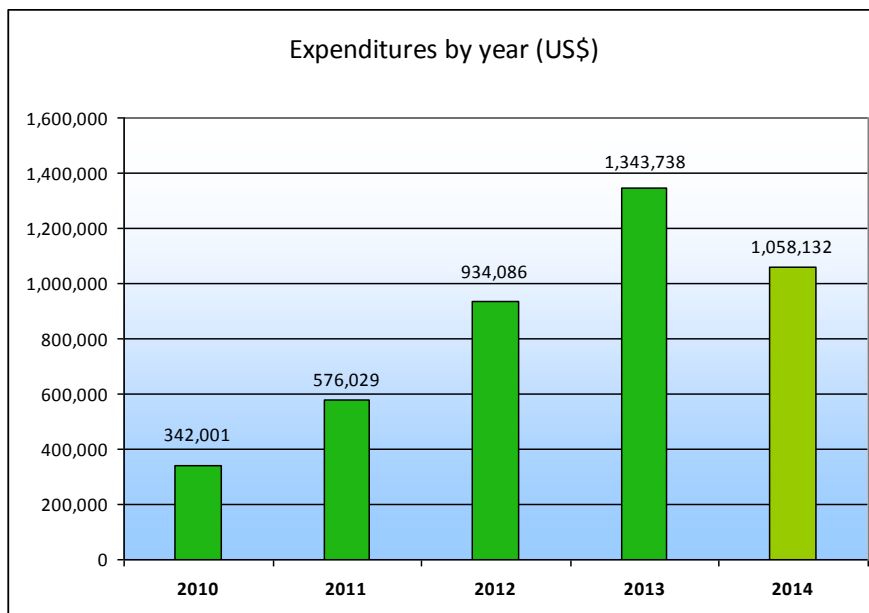
Source: UNODC.

During the life span of the project, 56 events were organized, which included needs assessments (5), national workshops (25), training seminars (18) and regional gatherings

(8). International consultants were utilized only for training seminars and selected publications and they represented 7% of the expenditures.

Equipment – including more than 200 computers and several motorbikes, radios and telephones – were procured for 58 BLOs in 5 countries, in compliance with UN Rules and Regulations. The procurement of equipment represented 24% of the total volume of expenditures. Other BLOs are implicitly included in the bilateral agreements among countries to address the broader threats of TOC but have not yet received support in the form of equipment and/or training. It is difficult to assess the cost-efficiency of activities such as BLO infrastructure support given the limited time and number of physical visits, and training where cost-efficiency measures are not available.

The implementation of XAPU59 was sustained through a relatively small team, which represented by 27% of the expenditures. Having a Programme Officer post at P-3 level and the incumbent having been previously involved from the start of the project were stated by both UNODC and external respondents as factors contributing to successfully developing partnerships and ensuring adequate representation for UNODC with the PATROL project. Backstopping and support from UNODC Country Offices and Head Quarters was not reported as having presented any difficulty. Two respondents argued that limitations were experienced for UNODC internal management procedures given, delays are experienced for administrative management and procurement and that these constraints would be the same under any other UNODC project.

Partnerships and cooperation

The coordination and collaboration arrangements that have been made with partners and stakeholders for PATROL are considered by all respondents as having been beneficial both to their respective operations and for the partnership. UNODC has been able to create synergies with potential partners for funding and technical assistance to host governments.
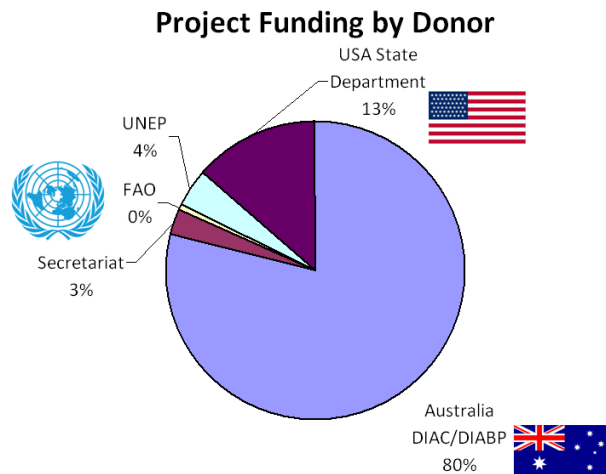
The main Government implementing agencies were the National Authority for Combating Drugs (NACD) in Cambodia, the Ministry of Public Security (MOPS) in Lao PDR, the Myanmar Police Force, the Royal Thai Police and the Standing Office on Drugs and Crime (SODC) in Vietnam. Project Advisory Committees have been established in all five countries. Cambodian respondents were most keen on highlighting interagency collaboration and Cambodia is the only partner country that has 5 Government agencies formally endorsed as an implementing agencies. Government counterparts highlighted the need to engage with border police along borders. Indeed, international crossing points were reported to be covered for enabled law enforcement responses during interviews at three different BLOs, but provincial entry points or other points along borders are more difficult to cover. Government officials interviewed at BLOs in Cambodia, Myanmar and Vietnam suggested that significant TOC threat occurred on other border points than at BLOs. This concurs with the comment of a UNODC respondent that UNODC still engages with narrow parts of government despite achieving success in joint collaborations at BLOs. UNODC would need to engage with the workforce more broadly on TOC and law enforcement issues. It was also suggested to probe about BLOs engaging with other parts of government or other structures with a

similar focus, so as not be isolated from other plans in the region. Finally, national counterparts in three countries reported that district level cooperation is difficult to organize on cross border issues and partnerships may be refined at bilateral administrative level.

As regards the partnership between the donor and the executing agency, DIAC/DIBP has supported number of UNODC projects in the region on smuggling of migrants and border control and PATROL has proven to be another mutually beneficial project. Donor government respondents are satisfied with their buy-in from PATROL for capacity building and training to host Governments and possibly for data generation and sharing, in line with Australian Government policies on irregular migration at borders.

Some constraints were experienced on reporting formats and on how funds were spent, but an agreement was reached for the content and breakdown of reporting and the lines of communication between UNODC ROSEAP and DIBP are reported to have improved markedly since. The funding agreement planned for reporting only outcome 1 but output 1.3 was believed to be inadequate to encompass the training component and outcome 5 to be relevant. UNODC later reported against two outcomes 1 and 5.

PATROL started with 100% funding from Australia and during the course of the project partly succeeded in diversifying the portfolio of donors, with additional funding from the FAO, UNEP, the Secretariat of the Convention on International Trade in Endangered Species of flora and fauna (CITES) and the United States of America.

Project Funding by Donor

USA State Department 13%

UNEP 4%

FAO 0%

Secretariat 3%

Australia DIAC/DIABP 80%

As regards external partners for training and support on TOC, NGOs Freeland and Traffic entered PATROL together. TRAFFIC provided training at the beginning of the project on wildlife awareness but did not commit further due to a lack of specific funding or resources. TRAFFIC is also rather more geared towards conservation and wildlife regulation issues perhaps explaining the limits to its engagement with PATROL. Freeland remained an effective partner throughout the project, in line with its strong law enforcement component for improved government performance in counter-trafficking.

UNEP was involved in PATROL as a partner UN agency and provided financial support to UNODC and equipment for training. UNEP's rationale for engaging in PATROL was to use the BLO mechanism to address environmental issues in the GMS and build synergies on all environmental related commodities, placing emphasis on the illegal trade in chemicals and waste. Ozone Depleting Substances (ODS) gas detector/identifier were donated to be used at BLOs. Respondents from the UNEP Regional Office for Asia and the Pacific confirmed their willingness to jointly cooperate in the future with UNODC

alongside WIPO, ESCAP, through the Regional Enforcement Network for Chemicals and Waste (REN) which includes 25 countries, and the biannual Asia-Pacific Forum on combating environmental crime which UNEP coordinates.

Effectiveness

PATROL has been effective in achieving its objective to the extent that a reduction of illicit trafficking can be substantiated and related to outcomes. There are adequate measures available to measure the effectiveness of the project against its objective (To reduce illicit trafficking of people, drugs, illicit natural resources and hazardous substances through enhanced cross-border cooperation in the fight against transnational organised crime). The indicators and means of verification at objective level in the logical framework are straightforward. However data available from BLOs and national authorities on the performance of BLOs is either unavailable or inadequate to report on these indicators. Indeed the M&E framework of the project and the measures in place do not allow the effectiveness against the stated objective to be fully demonstrated. It is difficult to attribute any reduction of illicit trafficking of commodities and people to the activities undertaken as part of this project.

Progress towards achieving the five expected outcomes was uneven. The main outcomes developed were 1 and 5. Most funds were spent one outcome 1 (assets, infrastructure). To some extent outcomes 2, 3 and 4 seem to replicate the outputs contained in Outcome 1. It was argued by the PATROL management team at UNODC ROSEAP that some activities pursued under outcome 1 and 5 were understood in retrospect as falling under other outcomes. Outcome 3 on cooperation mechanisms, outcome 4 on strategic and operational information, as well as outcome 5 on knowledge and skills all relate generically to outcome 1 and the support to BLOs through training and capacity building for data generation and dissemination. This may help to explain that three of the five outcomes were not developed and at the same time no major constraints and problems were reported to have affected the delivery of this project. This may suggest in turn that more progress towards the project's five outcomes and single objective has been achieved than thought so previously or by monitoring from output level based on the revised outcomes. It was also argued by the UNODC team that the project design would have gained in rationality by either dropping outcome 1 and retaining the other 4 or elaborating a single outcome 1 and dropping the other 4. Less outcomes and outputs were believed to be easier to monitor and 5 outcomes with 20 outputs were considered overall as a challenge for effective monitoring.

XAPU59 has been effective in strengthening and expanding BLO operations under outcome 1 (the most developed one with outcome 5) in contribution to the project's objective. Despite a slow initial response to endorsement from the partnership member countries, PATROL expanded to 3 countries in 2012 and to 5 countries in 2013 with corresponding increased expenditure throughout the project's duration (as highlighted in Chart 1). Each participating country has established a multi-agency advisory/national steering committee that oversees the work of the BLOs and meets twice a year to assess progress and plan ahead. National counterpart agencies are well identified with one main implementing agency in each country. It was suggested by several respondents that

the project advisory committees set up are akin to potential national TOC task forces given the breadth and seniority of government authorities represented.

Output 1.4 on Border Community Committees (BCC) stands out as providing a unique opportunity to engage with communities, civil society groups and local government authorities under this outcome. Possibilities for BLOs to work with BCCs were explored and BCCs were established in Thailand and Lao PDR. Through BCCs, PATROL has provided awareness and sensitizing about TOC and sought to encourage local community participation for sustainable work with BLOs. It was recognized by both the UNODC management team and counterpart government authorities that PATROL partner countries have different levels of community functioning and participation and would not engage with BCCs at borders in the same manner.

Project output 1.5 was not pursued thus not requiring further inputs. The feasibility of maritime BLOs (Joint Port Control Units) was assessed and counterparts concluded that PATROL would focus on land BLOs rather than developing maritime BLOs, given the difficulty of liaising with neighbors and counterparts at maritime border points and at sea.

Outcome 2 (Legislative and policy frameworks are revised to meet international obligations and standards) was not particularly pursued due to lack of specific funding and resources. A review on timber and wildlife issues was carried-out with FAO support to assess legal and policy frameworks on environmental protection however, and no specific review was conducted for other TOC areas. PATROL was not geared towards legislative and policy framework reviews to improve effective cross-border cooperation on TOC and law enforcement.

The PATROL project has been effective in delivering Outcome 3 (Increased cooperation between criminal justice agencies within and between borders) to the extent that agreements were brokered between governments and among government agencies for the implementation of a coordinated mechanism, more so considering that more counterpart governments joined the project during implementation, increasing the number of agreements to be drawn up. At the time of this evaluation, 12 SOPs had been prepared but not all endorsed. All countries had shared SOPs with their neighbors. UNODC reported that SOPs were shared through bilateral means without UNODC support. Output 3.3 (Mechanisms established for jointly conducted operations, investigations and prosecutions, including provision of legal assistance and support services to trafficking victims) was only partly delivered in contribution to this outcome. The SOPs developed during the PATROL project call for joint operations and investigations but no specific provision was made for jointly conducted prosecutions. Comprehensive national policies may be lacking that include legal, prosecutorial, judicial improvements for fighting against TOC at borders. The level of legal assistance and support services to trafficking of victims was difficult to ascertain: it was evidenced during site visits in Myanmar and Vietnam yet assistance to victims was presented by several senior government counterparts in two countries as not falling under the scope of PATROL.

Under outcome 4 (Strategic and operational information on illicit trafficking used by stakeholders to inform evidence based responses) a workshop was organized in 2012 to

improve data collection. Participants agreed on reporting priorities and a list of indicators for BLOs to report on every 6 months was developed. Cambodia and Vietnam were official PATROL counterparts at the time and others countries were present as future counterparts. This process allowed countries to agree on and develop indicators during the course of implementation. It was also effective in contributing to the outcome of using information to inform responses because government counterparts are more likely to utilize and share data if they have agreed to collect data from the onset.

As evidenced in the documents reviewed and during site visits data generation and sharing on BLOs appears insufficient however for UNODC to report on and ultimately for evidence based responses to be adequately informed. Most data is collected today in Cambodia and Vietnam, first partners to the project. It is acknowledged that PATROL partner countries do not have the same capacity to collect and share data. Thailand is recognized by a majority of interviewees as having the most capacity for data collection. The Royal Thai Police has proficiency in case management software for criminal investigations that serves to feedback data to capitals and into investigations or operations in jurisdictions other than at the BLO.

PATROL has been most efficient in achieving outcome 5 (Front-line law enforcement officers, prosecutors, judges and other specialized officials apply improved knowledge and skills to their operations). A training needs assessment was conducted in every country (Output 5.1) with in-house resources consisting of 100 questions to 300 people. Training programmes were developed (Output 5.2) effectively using available resources. 70% of the content of training under PATROL on TOC is reported to be generic. The training team of UNODC consultants and external providers was also effective in delivering and monitoring training (Output 5.3). 18 training seminars were delivered including awareness raising seminars for frontline officers, 12 Anti-smuggling trainings with simulation exercises (e.g;. in Lao PDR two anti-smuggling courses were held in Luang Prabang and Pakse for 13 BLOs with sixty participants from police, immigration, customs and forestry departments), Cross-Border Trainings (one between Cambodia and Vietnam with 15 participants each at the Moc Bai / Bavet BLOs, and another between Myanmar and Thailand). Post-course reviews were conducted and showed a high degree satisfaction from trainees. The UNODC training team also believes that the training provided may feed thoughts for good practice and ultimately reduce the likelihood of corruption practices among law enforcement personnel at borders.

Under outcome 5 the output 'Model Border Service Academy Guide produced', although not in original PATROL document, was pursued from the project's midpoint, with interest expressed by the United States government to develop model border academies through a curriculum, developed by UNODC ROEAP. Editing and translating this guide was the main reason for a three months no-cost extension of the PATROL project.

Impact

Achieving effective results for growing cross-border cooperation may be difficult given the project's broad ranging objective on TOC threats and the outcome measures in place, as highlighted above. It is also difficult to attribute impact in terms of the level of threat posed by TOC through illicit trafficking given the nature of technical support provided

during PATROL for BLO capacity-building and infrastructure and training. At best, strengthened and expanded BLO operations are thought to deter the level of TOC at border checkpoints, as expressed by some respondents. Illicit trafficking routes and patterns are reported to shift accordingly (e.g. to other routes) and that the deterrence of TOC with BLOs cannot be considered as a long-term change.

PATROL has nevertheless succeeded in achieving endorsement at the highest levels of policy for operating on cross-border and TOC issues. This partnership entails sensitive interactions among various national authorities operating on border security and TOC and it has moved forward on the understanding that these interactions can be dealt with efficiently for the purpose of PATROL. Partnerships between governments were developed at sub-regional level with five countries and new arrangements and management structures were promoted among government agencies in respective countries. Counterpart officials at BLOs and national level have been able to develop and sustain working relationships and trust. PATROL has developed strong momentum and gathered adherence of partners, in such a way that beneficiaries interviewed unanimously welcomed opportunities for developing BLOs through this mechanism.

Sustainability

Most respondents suggested that the overall level of engagement and cross-border cooperation achieved by PATROL is unlikely to be sustained without external support and facilitation by UNODC or other organisations, as evidenced also in the 2012 Participatory Self-Evaluation. The experience and knowledge acquired, especially through training, was also considered sustainable by a majority of respondents asked to comment on this point and likely to be utilized in the course of the career of frontline and other officers, ultimately contributing to more professionalism.

Several counterparts stated that government funds in their country will be used to support the BLO mechanism after PATROL phase 1. It was not possible to verify the envisaged level of financial support from Governments in support of the new BLOs. Some PATROL partners are also engaged in other projects with a similar focus as part of their core business at bilateral or regional level (e;g. RTP with the Government of Australia, or in relation with China). National funding streams and other interventions on TOC - that would not duplicate or overlap interventions - constitute good ground to build on PATROL and further integrate and institutionalize the BLO mechanism in national policies, laws and regulations on border security and TOC, as well as in the UNODC RPF 2014-17.

The current funding agreement between DIAC and UNODC has reached its term and upon request by UNODC to provide assistance, a new funding agreement for one more year was concluded in June 2014. PATROL in its next phase may also be embedded in the RPF 2014-2017 (Sub-programme on TOC) depending on funding and project development opportunities. The environmental component of XAPU59 may feed in to the Global Programme on Environmental and Wildlife Crime.

Gender and Human Rights

The project addressed the gender dimension of working with law enforcement mainly at border locations by encouraging the participation of female officers in training and other initiatives in an otherwise overwhelmingly male workforce. Women law enforcement officers were reasonably well represented during site visits and group discussions. This evaluation did not find any human rights concern for counterparts at BLOs and the populations at border points as part of the implementation of PATROL.

III. CONCLUSIONS

PATROL has successfully developed an integrated approach to tackling TOC threats with a focus on borders. It has made a positive contribution to the realization of the project's objective to the extent that it can actually be achieved and supporting outcomes to the extent that they can be appropriately measured.

PATROL expanded from 2 countries in 2010 to 5 countries in 2013 and has succeeded in achieving endorsement at the highest levels of policy for operating on cross-border and TOC issues, through national Project Advisory Committees and bilateral SOPs. The partnership arrangements for PATROL are considered by all respondents as mutually beneficial and UNODC has been able to create synergies with potential partners for funding and technical assistance to host governments.

Implementation was characterized by a high level of efficiency in delivering capacity-building, training for further action on transnational crime with state-of- the-art and generic content, and equipment support to BLOs. No major constraints and problems were reported by respondents to have impacted the implementation and delivery of the project. Minor constraints were experienced for reporting and contracting.

Given PATROL's modular approach and adaptive nature it is recognized that countries will implement activities at different levels. However, providing a common structure for harmonizing activities of BLOs is expected, so as to ensure uniformity and standardization of BLOs, in similar ways as cited by one informant to what has been achieved by UNODC with the Container Control Programme (CCP). Drawing on these positive contributions, PATROL could now further pursue its objective on TOC and focus on cross-border cooperation by engaging with border police along borders and more widely with government departments with a mandate on border and national security.

At the end of the project, the lack of data stands out to effectively substantiate improved cross-border cooperation among Governments in the fight against transnational organized crime. Data from BLOs and national authorities on the performance of BLOs is either unavailable or inadequate for reporting on based on agreed indicators. The data collected and shared by BLOs does not allow for a thorough understanding of the activities of BLOs receiving PATROL support. Effectiveness and impact would need to be better tracked against same or similar activities through data generation.

IV. RECOMMENDATIONS

Given the findings and conclusions of this evaluation recommendations are made to a) all partners to PATROL, b) UNDOC as the executing agency and the donor, and c) Government authorities responsible for and receiving support from PATROL.

For PATROL phase 2 and other partnerships and responses to TOC through regional cross-border cooperation it is recommended **to all partners** to:

Ensure strategic positioning and integrate with other donors and technical assistance providers driving bigger agendas, namely the Asian Development Bank. This would increase the appeal of BLOs and other partnerships for recipient governments in the perspective of the transition to the ASEAN Economic Community in 2015;

Find ways to increase data generation and sharing on BLOs. In the future, BLOs could feedback data to capitals and into investigations in various jurisdictions in partner countries;

Engage not only across but also along borders in remote (and often upland areas) with relevant authorities with a remit for border security; this would entail engaging with the army (e.g. border army or military police);

Engage at provincial and district level so as to widen the geographic scope of action of BLOs to the areas and not only the points were they are located and to fine tune bilateral relations at various administrative levels.

To UNODC recommendation is made firstly to complete the delivery of equipment and training material (eLearning mobile units for Thailand and Cambodia, IT equipment to Myanmar). UNODC should also mobilize more resources for PATROL Phase 2 for national and regional events, for example to monitor SOP implementation or to facilitate events like the planned regional conference on border security to build political and technical support for cross-border cooperation and responses to transnational crime. UNODC may also support training opportunities for border officers by providing material, computer-based courses with modules and certificates, mobile learning units, as well as more joint and cross-border training. Different levels of training can also be envisaged e.g. 1) Anti-smuggling training, 2) Cross-border training and 3) Advanced training. Finally it is recommended to UNODC to find synergies with other UNODC projects and programmes especially in relation to e-Learning, Port Intelligence Units (PIU), Container Control Programme (CCP), Global Programme on Wildlife and Forest Crime.

To UNODC and DIBP it is recommended for future regional partnerships to identify engagement mechanisms at country or post level so as to avoid overlap with other

initiatives and to provide adequate coordination and support for in-country implementation.

To the governments of Cambodia, Lao PDR, Myanmar, Thailand and Vietnam, through their respective authorities responsible for PATROL it is recommended to actively support the BLO mechanism through support and implement the SOP with neighboring countries, data collection on BLOs from district and provincial authorities, and regular consultations of project advisory committee members to identify new hotspots and threats. Support to BLOs should also be provided by distributing training material and offering e-Learning opportunities, providing adequate premises and staff for BLOs, and ensuring through senior officers and authorities that training is applied by operational staff.

V. LESSONS LEARNED

The ways in which PATROL was funded and implemented and its various components deployed potentially inform future developments of strategic and operational partnerships for UNODC in the region. A modular approach for content development and diversified partnerships for funding - from one to several donors - and for technical assistance are key factors behind the incremental progress of PATROL over four years.

Coordinating this project through five national steering committees, contracting several technical assistance providers and procuring equipment requires strong UNODC management support at national and regional levels. The UNODC PATROL team has provided consistent management support to implement the project. XAPU59 is a project for which the capabilities and level of staffing are rather adequate.

With a project of this scope and nature, external funding support needs to be balanced with internal funding. National implementing agencies may in turn not be able to sustain activities at the same level. For example, immigration & police forces are arguably better funded than wildlife protection departments. It is acknowledged that some members of the partnership need more support than others and this may translate into differentiated training activities and physical support to BLO infrastructures.

Very good support was manifested from Governments and through the main implementing agencies NACD, the Lao Ministry of Public Security, Royal Thai Police, Myanmar Police Force and Standing ODC in Vietnam. All neighboring countries are keen to cooperate with each other. E.g. Cambodia, Myanmar, Thailand and Vietnam expressed their desire to increase and extend collaboration with Lao in the future. It is very important to maintain the commitment of all members of the project advisory committees set up so far.

Frontline officers and civil servants working on borders still need training opportunities on TOC, especially through joint courses. Inter-agency face-to-face courses with practical problem solving exercises are appreciated by trainees and ought to be promoted. XAPU59 highlighted that training content can be developed and seminars delivered in an effective and efficient way. Training can be provided on a topical basis by modules and at different levels depending on the skills of trainees and their prior exposure to training.

It remains difficult to determine the extent of cooperation at BLO level, as there is overall very limited information on the performance of BLOs. Reporting indicators have been agreed to by governments with some flexibility for adaptation, yet reporting against BLO performance indicators has not provided enough evidence on PATROL's contribution towards its objective and outcomes. The implementation of future projects will benefit from more engagement with national counterparts to define what will and what will not be reported on as part of a given framework for technical assistance.

ANNEX I.   TERMS OF REFERENCE OF THE EVALUATION

1.   BACKGROUND AND CONTEXT

Project number:	XAP U59
Project title:	Partnership Against Transnational Crime through Regional Organized Law Enforcement (PATROL)
Duration:	January 2010 – June 2014 **(4 years and 6 months)**
Location:	Cambodia, Laos, Myanmar, Thailand and Viet Nam
Linkages to Country Programme	
Linkages to Regional Programme	Regional Programme Framework for South East Asia and the Pacific 2009-2012 – Outcome 1: Illicit Trafficking – Output 1: Border Control
Linkages to Thematic Programme	
Executing Agency:	UNODC Regional Office for Southeast Asia and the Pacific
Partner Organizations:	Freeland Foundation, TRAFFIC and United Nations Environment Programme
Total Approved Budget:	4,254,088
Donors:	Australia, USA, CITES Secretariat, FAO and UNEP
Project Manager/Coordinator:	Giovanni Broussard

Type of evaluation (mid-term or final):	Final
Time period covered by the	January 2010 – June 2014

evaluation:	
Geographical coverage of the evaluation:	Regional
Core Learning Partners (entities)	See Annex 3

This regional project supports cross-border cooperation in the fight against transnational organised crime (TOC) in the Greater Mekong Subregion. It specifically supports the capacity of border control officers to identify and interdict cases of migrants smuggling, human trafficking, but also illegal wildlife trade and the smuggling of waste. It supports implementation of the UNODC Thematic Programme on fighting Transnational Organized Crime.
UNODC leads this project in cooperation with UNEP, TRAFFIC (The Wildlife Trade Monitoring Network) and the Freeland Foundation. The Programme draws on and expands the success of the existing Border Liaison Office (BLO) mechanism, with a view to address other forms of TOC, beyond drug trafficking.

The project was developed with a view to assist Member States to address more comprehensively organized crime at land border locations, hence moving beyond the focus on drug trafficking only. The evidence of other forms of crime afflicting border location emerged clearly during the various surveys and baselines conducted in each participating country.

The idea of expanding the mandate of the BLO to other forms of crimes was a sensible decision since all countries in the sub-region were familiar with the concept of BLOs since early 2000s. Nonetheless the decision to expand their mandate created significant discussions within different government departments.

The transformation of the mandate of BLOs from "only drug" to other crime areas – specifically migrant smuggling – is a delicate process underpinning sensitive interactions among various national authorities operating at the border. In the first two years of implementation some national counterparts have demonstrated a strong interest in expanding the mandate of the BLOs from drugs only to TOC. In other cases the national counterparts have expressed an interest in working with the BLO mechanism exclusively within their area of drug control. In no cases, national counterparts have indicated a willingness to adopt the BLO mechanism to address SOM only. Therefore, in order to mitigate the risk of generating high tensions among government agencies operating in the field of anti-narcotics and those operating in other TOC areas, it has been decided to address all these areas comprehensively. In this way, rather than engaging selectively with some agencies and at the same time excluding others, UNODC has encouraged a more inclusive and country-specific approach that aims at strengthening border security at large.While Cambodia and Viet Nam endorsed the project immediately in 2010, Thailand joined only in 2012, Myanmar and Laos in 2013 and China never endorsed the project.

In 2012 a project revision took place in order to realign the original project document with the documentation uploaded on the ProFI system, with a view to rectify possible incongruence.

As a result of the revision the logical framework outlined the following objectives:

Objective: To reduce illicit trafficking of people, drugs, illicit natural resources and hazardous substances through enhanced cross-border cooperation in the fight against Transnational Organised Crime

Outcome 1: BLO operations strengthened and expanded

Outcome 2: Legislative and policy frameworks are revised to meet international obligations and standards

Outcome 3: Increased cooperation between criminal justice agencies within and between borders

Outcome 4: Strategic and operational information on illicit trafficking used by stakeholders to inform evidence based responses

Outcome 5: Front-line law enforcement officers, prosecutors, judges and other specialised officials apply improved knowledge and skills to their operations

This project was aligned with the UNODC regional plans as set in the 2009-12 Regional Programme Framework for East Asia and the Pacific. Furthermore, the same programmatic approach utilized for the PATROL initiative has been redesigned to fit also in the new UNODC strategic programme for the region, i.e. the 2014-17 Regional Programme for Southeast Asia.

Funding for the PATROL initiative was mobilized nearly exclusively for Outcomes 1 and Outcomes 5.

Since 2010, A total number of 45 BLOs have received (or are about to receive) support from the PATROL project in the form of equipment and/or training with a view to work on an expanded mandate. An additional 22 BLOs are implicitly included in the bilateral agreements among countries to address the broader threats of TOC but they have not received yet support in the form of equipment and/or training. In Cambodia the Government has included the BLO mechanism in the National Strategy on Drug Control in recognition of the important role that the BLOs play in ensuring border security.

In each country a baseline survey at the border was conducted to identify challenges and weaknesses. Based on the findings of such survey, training packages were developed to strengthen the capacity to identify smuggling operations and to start relevant investigations. Around 15 training courses for frontline officers were conducted at border hot-spots in 5 countries, including a country like Myanmar where frontline officers had rarely been exposed to international training courses.

Each participating country is today equipped with a multi-agency advisory committee that oversees the work of the BLOs and meets twice a year to ass the progress under PATROL.

Two intergovernmental bilateral agreements for the definition of Standard Operating Procedures among BLOs have been already stipulated (CAM-THA and CAM-VIE). Two more

agreements have been drafted by one of the parties (Thailand) and transmitted via UNODC to the related neighboring countries (Myanmar and Lao PDR). Three further agreements (MYA-LAO, LAO-CAM, LAO-VIE) have been agreed in principle among the concerned counterparts but the official transmission of a draft among the countries has not taken place yet. Official approval for all pending agreement is expected by June 2014.

A list of the reports related to the most relevant activities is included in Annex 2

2. DISBURSEMENT HISTORY

This section includes the following table:

Overall Budget Jan 2010 – June 2014	Total Approved Budget Jan 2010 – June 2014	Expenditure Up to Jan 2014	Expenditure in % As of Jan 2014
11,000,000*	4,254,088	3,257,986	77%

* This was the budget at the beginning of the project. The budget was revised to 5,000,700 during a project revision in 2012

3. PURPOSE OF THE EVALUATION

The need to conduct a final independent project evaluation at the end of the project was encompassed in the original project document and it is part of the UNODC policy on this matter.

As the project will terminate on 31 June 2014 it is recommended to conduct the evaluation latest between April and June 2014.

Through this evaluation, UNODC should obtain a frank assessment on the effectiveness of the activities conducted in this specific area and draw on recommendation and lessons learned to inform future programming. This evaluation will also offer an opportunity to increase accountability for all stakeholders involved and identify problems that may have to be addressed differently in the future.

UNODC is committed to support Member States in strengthening their land border capacity even after the completion of the PATROL project, as indicated in the new 2014-17 Regional Programme. The identification of best practices and/or mistakes during the evaluation process will help improving the BLO mechanism where it already exists and it will accelerate its establishment in areas where the BLO mechanism has not been used before.

As such the evaluation will support more informed policies among Member States and UNODC.

4. SCOPE OF THE EVALUATION

The scope of the independent evaluation will be limited to the implementation of the PATROL project in Cambodia, Laos, Myanmar, Thailand and Viet Nam.

In particular the evaluation will assess the relevance, effectiveness and efficiency of the activities conducted over the period 2010-2014 at national and regional level.

5. EVALUATION CRITERIA AND KEY EVALUATION QUESTIONS

The evaluation is expected to answer questions related to DAC evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability) and the criteria of partnerships and cooperation.

Tentative questions to be answered will include:

Relevance:

1. To what extent is the Border Liaison Office mechanism relevant to fight transnational organized crime at national and regional level?
2. How relevant was the project to needs/priorities of the target groups?

Efficiency:

3. Were the resources available converted to output in a timely and cost-effective manner?
4. What, if anything, could the management team have done differently to implement the project more efficiently?

Partnership:

5. To what extent has the PATROL project benefited from the partnership agreements among UNODC, UNEP, Freeland Foundation and TRAFFIC?
6. To what extent has UNODC generated synergy with other potential partners including other UN agencies, NGOs/CSOs, etc??
7. To what extent has UNODC developed a strong and trustworthy relationship with Government partners?

Effectiveness:

8. To what extent have the training activities reached the planned goals?
9. To what extent have the BLOs improved their capacity to interdict cross-border crimes?
10. How satisfied are the stakeholders with their involvement in this project, and what evidence is there of their ownership / commitment to supporting the outcomes?
11. To what extent have the original project objective/outcomes (or as adapted and approved during implementation) been achieved?

Impact:

12. To what extent has the cross-border cooperation among Governments improved in the fight against transnational organized crime?
13. To what extent has the project influenced other situational changes beyond the original objectives of the project?

Sustainability:

14. Will Government continue to support the BLO mechanism after the PATROL project?
15. To what extend are the project results (outcomes and impact, if any) likely to continue / be sustained after the project has finished?

Gender and Human Rights:

16. To what extent the project take into consideration human rights concerns during the implementation of its activities?
17. To what extent the project addressed the gender dimension of working with law enforcement officers at the border location?

6. EVALUATION METHODOLOGY

The evaluation will be participatory, involving the project's core learning partners (CLP) in various steps of the evaluation-process. These include the key partner government agencies and individual counterparts that the project has worked with in the four target countries.

It is anticipated that the evaluation will be conducted by **one independent consultant**, and will involve visits to each of the 5 participating countries. The project management team will provide the necessary logistical support in terms of organizing meetings, travel and accommodation in each country visited, and any necessary interpreter services.

In addition to soliciting the views of key stakeholders, the evaluation will source information from key project documents, including the progress reports prepared by the project management team.

The main elements of the evaluation method will therefore include:

- Preliminary **desk review** of all relevant project documentation, as provided by UNODC and also independently accessed by the evaluator (e.g. from the web or through other professional contacts/sources). Such documentation will include:
    - o Project document, project revisions and annual project progress reports
    - o Results of the mid-term participatory evaluation
    - o Selection of the most relevant activity reports (regional conferences, training seminars, national workshops, baseline surveys, etc.)
- **Ongoing email and phone communication** with stakeholders as required, including with respect to organizing and confirming all field work arrangements, meetings, etc with UNODC
- Preparation and submission of a (updated) **field work plan/evaluation method paper** at least one week prior to the commencement of field work. This will include a draft online survey using an appropriate online survey tool such as Survey Monkey
- Preparation of an **Inception Report** (to be cleared by IEU before the field missions) with the evaluation methodology, preliminary findings and refined evaluation questions.
- **An initial set of meetings and interviews** with the project management team and other UNODC staff at the Regional Office in Bangkok. Field work arrangements, the schedule of planned meetings and the scope of the online survey will be further discussed and confirmed. The on-line survey will then be sent out to identified respondents.
- **Face to face interviews** with key project stakeholders in each of the five participating countries, both individually and (as appropriate) through the attendance to national steering committees meetings
- **Physical inspection of BLOs** as appropriate
- **Ongoing review of relevant project documents**
- Preparation and submission of an **Aide Memoire** to UNODC prior to completion of all field work
- **Presentation of preliminary evaluation findings** (based on the Aide Memoire) at a meeting in the UNODC regional office in Bangkok and facilitation of discussions to help confirm validity of these findings as well as the identification of possible practical recommendations for follow-up
- **Final reflection on and analysis** of all available information
- **Preparation of the draft evaluation report** (based on UNODC Evaluation Report Guidelines and Format[5]) and submission to UNODC; and
- **Preparation of the final evaluation report**, following feedback from UNODC on the first full draft, submission to UNODC, and final clearance by IEU

A job description for the international evaluator is provided at Annex 1.

7. TIMEFRAME AND DELIVERABLES

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[5] All UNODC/IEU norms, guidelines and templates to be used in the evaluation process are to be found on the IEU-Website:
   http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html

The evaluation is scheduled to take place between March and June 2014. In order for this timeline to be met, UNODC will need to approve the TOR and then identify and contract the independent consultant by mid March 2014.

It is important that key government counterparts in each of the four participating countries are kept informed of progress and timing. They should also be provided with a chance to comment on / input to the evaluation draft TOR and (final) draft evaluation report.

The evaluator will have overall responsibility for the quality and timely submission of all deliverables as specified below. The exact timings are indicative at this point in time:

1. Inception Report (following the UNODC/IEU Guidelines[6]), including a field work plan, refined methodology (including questionnaires, etc.), preliminary findings of the desk review and possible limitations to the evaluation (c. 5 pages) to be cleared by IEU. By 18 April 2014 (well before the beginning of the field mission).

2. Aide Memoire (c 10 pages), containing a summary of work undertaken and preliminary findings in terms of project relevance, efficiency, effectiveness, impact, sustainability and partnerships. By 13th June 2014.

3. Presentation of preliminary evaluation findings to UNODC (and other CLP as appropriate) in line with UNODC evaluation policy and guidelines (c 30 pages, plus annexes), and solicitation of feedback. By 20th June 2014.

4. Final evaluation report, taking into account UNODC management response (c 30 pages plus annexes), to be cleared by IEU. By 27th June 2014.

UNODC guidelines and formats for evaluation reports are referenced at Annex 4.

8. EVALUATION TEAM COMPOSITION

This evaluation envisages **one expert evaluator** to undertake the exercise.

The evaluator shall not act as a representative of any party and must remain independent and impartial. The evaluator must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the project under evaluation.

The evaluator is contracted by UNODC. The qualifications and responsibilities for the evaluator are specified in the job description attached to these Terms of Reference (Annex 1).

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6 All UNODC/IEU norms, guidelines and templates to be used in the evaluation process are to be found on the IEU-Website:
    http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html

9. MANAGEMENT OF EVALUATION PROCESS

The independent evaluation will be carried out following UNODC's evaluation policy and United Nations Evaluation Group (UNEG) norms and standards[7]. .

The Independent Evaluation Unit (IEU)

- Provides templates, guidelines and evaluation tools through their website (http://www.unodc.org/unodc/en/evaluation/index.html)
- Clears the ToR and provides ideas / advice on possible suitable consultants
- Comments on and clears the Inception Report
- Comments on, assesses and clears the final draft evaluation report
- Places the final evaluation report on the UNODC evaluation website (http://www.unodc.org/unodc/en/evaluation/evaluation.html).

Project Manager

- Responsible for the provision of desk review materials to the evaluator
- Drafts and finalizes the ToR.
- Selects Core Learning Partners and informs them about their role.
- Recruits evaluators
- Reviews and comments on the evaluation workplan, methodology and Inception Report
- Liaises with the CLPs and UNODC country offices and helps organize stakeholders meetings and field work logistics, including in-country travel, accommodation and interpretation services as required
- Reviews the draft evaluation report, provides comments and develops an implementation plan for the evaluation recommendations
- Assesses and comments on the final evaluation report

Management will be in charge of providing logistical support to the evaluation team

including arranging the field missions of the evaluation team. For the field missions, the evaluation team liaises with the UNODC Regional/Field Offices and mentors as appropriate.

Core Learning Partners (CLPs)

- Key agencies and individuals are identified and selected by the project manager in consultation with the National Project Officers
- CLPs review and have opportunity to comment on the draft TOR

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7 All UNODC/IEU norms, guidelines and templates to be used in the evaluation process are to be found on the IEU-Website:
http://www.unodc.org/unodc/en/evaluation/independent-project-evaluations-step-by-step.html

- CLPs facilitate and attend meetings, respond to questions and provide access to relevant information
- CLPs are provided opportunity to comment on the draft evaluation report
- CLPs further disseminate and apply (as appropriate) the key recommendations / follow up actions contained in the final evaluation report

The Evaluator

- Carries out the desk review
- Develops the inception report (including work plan; evaluation methodology; questionnaires; preliminary findings; etc.) and evaluation methodology, incorporating relevant comments;
- Implements quantitative tools and analyses data;
- Triangulate data and test rival explanations;
- Conducts the evaluation process and carries out the evaluation tasks
- Undertakes appropriate qualitative and quantitative data collection and analysis
- Ensures that all aspects of the terms of reference are fulfilled
- Prepares an Aide Memoire on completion of field work
- Presents preliminary findings prior to departure for home base
- Drafts an evaluation report in line with UNODC evaluation policy
- Finalises the evaluation report on the basis of inputs/feedback received

Logistical support for the evaluator will be provided from the regional office and/or the respective visited field offices.

A preliminary list of Core Learning Partners (key individuals to be engaged in and consulted during the evaluation process) is provided at Annex 3.

10. **PAYMENT MODALITIES**

Consultants will be issued consultancy contracts and paid in accordance to UNODC rules and regulations. Payment is correlated to satisfactory deliverables reviewed by the Project Manager and IEU.

Daily Subsistence Allowance (DSA) and Terminal:

- 80 % of daily subsistence allowance and terminals shall be paid in advance, before travelling. The balance shall be paid after the travel has taken place, upon presentation of boarding passes and the completion of travel claim forms.

Consultancy Fee:

- 1st payment (20 % of the agreed consultancy fee) upon receipt and acceptance by UNODC of the Inception Report.

- 2nd payment (30 % of the agreed consultancy fee) upon receipt and acceptance by UNODC of the draft evaluation report
- 3rd and final payment (50% of the agreed consultant fee) only after the completion of the evaluation task, receipt of the final evaluation report and its clearance by IEU according to UNODC rules and regulations

11. ANNEXES

Annex 1. Job descriptions of evaluators
Annex 2. List of background documents for the desk review
Annex 3. List of CLP Members (names and titles)
Annex 4. UNODC standard format and guidelines for evaluation reports

ANNEX II. EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

Design

Do expected outcomes properly reflect the objective? Are outputs adapted to achieve outcomes? Are there adequate baseline measure and indicators to assess results? Has the logical framework matrix been used to the greatest extent to measure project progress?

Relevance

To what extent is the BLO mechanism relevant to fight transnational organized crime at national and regional level? Were the means deployed relevant to support BLOs in achieving substantial results?

How relevant was the project to needs/priorities of the target groups? What project design and scope may be envisaged other than cross border land BLOs for future projects addressing TOC?

Efficiency

Were the resources available converted to output in a timely and cost-effective manner?

Were human resources appropriately deployed? Do the Programme Officer at P-3 level and team in place have sufficient means and support from UNODC Country Offices and HQ? What, if anything, could the management team have done differently to implement the project more efficiently?

Are there measures in place to assess the cost-efficiency of activities under respective outcomes, e.g. training, BLO strengthening?

Partnerships and arrangements

To what extent has the PATROL project benefited from the partnership agreements among UNODC, UNEP, Freeland Foundation and TRAFFIC? Are there past or current partners and donor organisations that have reservations as to the results of this partnership or the way it was implemented?

To what extent has UNODC generated synergy with other potential partners? Are there synergies with similar projects and initiatives within UNODC? With project stakeholders on specific TOC threats? How was donor involvement pursued and sustained?

To what extent has UNODC developed a strong and trustworthy relationship with Government partners? What were the constraints experienced in each country? Are there areas of BLO's mandate where cooperation is more difficult to achieve than others?

Effectiveness

To what extent have the original project objective/outcomes as adapted during implementation been achieved? Are there adequate measures and evidence of achievements at outcome and output levels? For training activities? For cross-border cooperation activities?

To what extent have the BLOs improved their capacity to interdict cross-border crimes? Are legislative and policy frameworks in place conducive to effective cross border cooperation on TOC and law enforcement? What are the mechanisms actually in place? Do national counterparts have the capacity to collect and utilize data? To what extent have the training activities reached the planned goals?

How satisfied are the stakeholders with their involvement in this project, and what evidence is there of their ownership / commitment to supporting the outcomes?

Impact

To what extent has cross-border cooperation among Governments improved in the fight against transnational organized crime? Are there adequate measures available to measure the impact of the project against its objective of addressing TOC threats?

To what extent has the project influenced other situational changes beyond the original objectives of the project? Were there externalities that had an impact on the project?

Sustainability

Will Government continue to support the BLO mechanism after the PATROL project? Is Government support for the new BLOs envisaged without UNODC support? Are there project results likely to be sustained after the project has finished? Are there plans to institutionalize the BLO mechanism in national policies, laws and regulations on border security and TOC?

What are the plans for UNODC to support Member States in strengthening their border capacity after the completion of the PATROL project, as indicated in the 2014-17 Regional Programme framework and given the current level of implementation of UNODC mandates?

Gender and Human Rights

To what extent the project take into consideration human rights concerns during the implementation of its activities? To what extent the project addressed the gender dimension of working with law enforcement officers at the border location?

Lessons learned

What are the lessons learned from four years of implementation of this project? What are the main features of the project, through both activities implemented and partnerships developed, that could be replicated? Are there experiences that should be avoided in the future and how?

The following interview guides were used depending on the Core Learning Partner or interviewee:

To the donor:

How does this project fit with your Government/organisation's priorities?

Are you satisfied with the results achieved by PATROL?

Are you satisfied with reporting/backstopping by UNODC?

Where lie the synergies/added value of the partnerships developed?

What are the lessons learned from this project and how can similar future initiatives be more cost-effective and better designed?

What involvement if any is planned for DIAC with UNODC on cross border cooperation against transnational crime?

To senior government counterparts:

What has been your involvement in this project?

In what ways has the authority/institution/Government you represent benefited from it?

How would you measure achievements and improvements that may be attributed to this project?

How may measures for tackling transnational organized crime be established?

What are the lessons learned for the future of cross border law enforcement cooperation in the region?

Do you have any recommendations to sustain the achievements of PATROL?

Recommendations? Anything to do differently?

To trainers:

How many training sessions did you conduct and participate in? where?

Are you and the organisation you represent satisfied with the partnerships established to deliver training?

How would you assess the level of responsiveness/commitment to training?

Are there countries that stand out concerning the aptitude/attitude of trainees?

How are successes or shortcomings in training measured?

How can training courses and their content be enhanced in future sessions?

Is corruption a significant factor for civil servants in border areas? In some locations more than others? In some areas of intervention and mandate more than others?

How do you address this through training?

To beneficiaries at Border Liaison Offices:

How did you get involved with the PATROL project?

What difference has it made in your work? What difference has it made to other people you know?

What is the most important achievement of PATROL?

What challenges do you experience in your work with regard to TOC and cross-border cooperation? (Suggest solutions).

Is corruption a significant factor in your area? How can this be better addressed? Are there forms of transnational crime that need to be addressed in priority?

ANNEX III. DESK REVIEW LIST

A. Project documents
1. Project document 2010
2. Project revision 2012
3. Project revision 2013
4. Annual Progress Report 2010
5. Annual Progress Report 2011
6. Annual Progress Report 2012
7. Annual Progress Report 2013
8. Report from the Participatory Mid-Term Evaluation 2012

B. Initial / Training Needs Assessment Reports
9. Baseline survey and training needs assessment in Myanmar (October 2011)
10. A baseline for improving law enforcement capacity to counter cross-border crimes in Lao PDR (May 2013)
11. Border Control in the Greater Sub-Mekhong Region (December 2013)

C. National Workshop Reports
12. PATROL National Workshop in Thailand (September 2012)
13. PATROL National Workshop in Myanmar (February 2013)

D. PATROL National Committee Reports
14. First Meeting of the PATROL Project Advisory Committee, Cambodia (February, 2011)
15. The first National Meeting of the PATROL National Steering Committee in Thailand (December, 2012)
16. First Meeting of the Myanmar PATROL Advisory Committee (M-PAC) (May, 2013)

E. Anti-Smuggling Training Course for border officers
17. Anti-Smuggling Training Course for border officers in Viet Nam (An Giang and Tay Ninh))
18. Anti-Smuggling Training Course for border officers in Myanmar (Tachileik and Kawthoung) (July 2013)
19. Anti-Smuggling Training Course for border officers in Pakse, Lao PDR (November 2013)

F. Cross-border Cooperation Training Courses for border officers

20. Cross-border Cooperation Training Course for border officers between Myanmar-Thailand (November 2013
21. Cross-border Cooperation Training Course for border officers between Cambodia-Viet Nam (December 2013)

H. Sub-Regional Workshops

22. Sub-Regional PATROL-BLO Monitoring Workshop (April 2012)
23. Improving cross-border cooperation among law enforcement agencies in the GMS (November 2013)